

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: David R. Tushie et al. Examiner: Mary Da Zhi Wang Cheung  
Serial No.: 09/416,252 Group Art Unit: 3621  
Filed: October 12, 1999 Docket: 457.003US3  
Title: SYSTEM AND APPARATUS FOR SMART CARD PERSONALIZATION

---

**INFORMATION DISCLOSURE STATEMENT**

MS Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

In compliance with the duty imposed by 37 C.F.R. § 1.56, and in accordance with 37 C.F.R. §§ 1.97 *et. seq.*, the enclosed materials are brought to the attention of the Examiner for consideration in connection with the above-identified patent application. Applicants respectfully request that this Information Disclosure Statement be entered and the documents listed on the attached Form 1449 be considered by the Examiner and made of record. Pursuant to the provisions of MPEP 609, Applicants request that a copy of the 1449 form, initialed as being considered by the Examiner, be returned to the Applicants with the next official communication.

The attached documents are from an opposition proceeding in the European Patent Office for European patent application EP 97921189.3 which claims priority to US Patent Application 5,889,941. The present patent application being examined in the USPTO is Serial No. 09/416,252 which claims priority to U.S. Patent No. 5,889,941. The present patent application is a continuation of U.S. Patent No. 6,014,748 which is a continuation of U.S. Patent No. 5,889,941.

Pursuant to 37 C.F.R. §1.97(b), it is believed that no fee or statement is required with the Information Disclosure Statement. However, if an Office Action on the merits has been mailed, the Commissioner is hereby authorized to charge the required fees to Deposit Account No. 19-0743 in order to have this Information Disclosure Statement considered.

INFORMATION DISCLOSURE STATEMENT

Serial No :09/416,252

Filing Date: October 12, 1999

Title: SYSTEM AND APPARATUS FOR SMART CARD PERSONALIZATION

Page 2  
Dkt: 457.003US3

The Examiner is invited to contact the Applicants' Representative at the below-listed telephone number if there are any questions regarding this communication.

Respectfully submitted,

DAVID R. TUSHIE ET AL.

By their Representatives,

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.  
P.O. Box 2938  
Minneapolis, MN 55402  
(612) 349-9592

Date Oct. 11, 2006

By Ann M. McCrackin

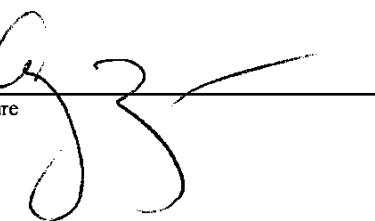
Ann M. McCrackin  
Reg. No. 42,858

CERTIFICATE UNDER 37 CFR 1.8: The undersigned hereby certifies that this correspondence is being filed using the USPTO's electronic filing system EFS-Web, and is addressed to: MS Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 11th day of October 2006.

Name

Amy Moriarty

Signature



Substitute for form 1449A/PTO											
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>											
<b>Complete if Known</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; padding: 2px;"><b>Application Number</b></td> <td style="width: 50%; padding: 2px;">09/416,252</td> </tr> <tr> <td style="padding: 2px;"><b>Filing Date</b></td> <td style="padding: 2px;">October 12, 1999</td> </tr> <tr> <td style="padding: 2px;"><b>First Named Inventor</b></td> <td style="padding: 2px;">Tushie, David</td> </tr> <tr> <td style="padding: 2px;"><b>Group Art Unit</b></td> <td style="padding: 2px;">3621</td> </tr> <tr> <td style="padding: 2px;"><b>Examiner Name</b></td> <td style="padding: 2px;">Cheung, Mary</td> </tr> </table>		<b>Application Number</b>	09/416,252	<b>Filing Date</b>	October 12, 1999	<b>First Named Inventor</b>	Tushie, David	<b>Group Art Unit</b>	3621	<b>Examiner Name</b>	Cheung, Mary
<b>Application Number</b>	09/416,252										
<b>Filing Date</b>	October 12, 1999										
<b>First Named Inventor</b>	Tushie, David										
<b>Group Art Unit</b>	3621										
<b>Examiner Name</b>	Cheung, Mary										
Sheet 1 of 1      Attorney Docket No: 457.003US3											

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS		
Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
		"Decision Rejecting the Opposition", <u>European Application No. 97921189.3</u> , (04/19/2006), 15 pgs.
		"English Translation of the Grounds of Opposition", <u>European Patent No. 97921189.3</u> , (01/26/2004), 7 pgs.
		"Grounds for Appeal of Decision by the Opposition Division", <u>European Patent No. 97921189.3</u> , (08/16/2006), 9 pgs.
		"Minutes of Oral Proceedings before the Opposition Division", <u>European Patent No. 97921189.3</u> , (04/19/2006), 13 pgs.
		"Summons to Attend Oral Proceedings Pursuant to Rule 71(1) EPC (includes Preliminary Opinion of the Opposition Division)", <u>European Patent No. 97921189.3</u> , (6/21/2005), 13 pgs.

**EXAMINER**

**DATE CONSIDERED**

Substitute Disclosure Statement Form (PTO-1449)

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional) 2 Applicant is to place a check mark here if English language Translation is attached